

## **ABSTRACT**

A data processing system and method manages broker transaction information in compliance with Securities Exchange Commission record keeping requirements utilizing electronic data transmission, thus eliminating problems associated with paper logs, or easily alterable databases. In a first embodiment, data is entered into the system through remote client workstations, stored in local tables until the user performs a data transmission function to a central database server. In a second embodiment, a web server hosts a website accessible by users and data is entered by logging onto the website and then executing desired data entry functions. The data is stored in the main database server enabling multiple off-site users to view and/or modify data and generate the necessary reports. The data processing system transmits data via a secured environment through encryption/decryption. The data processing system produces an electronic audit trail of modifications made to the recorded data. Security measures are provided to prevent unauthorized tampering of trade records.

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